



Organizational Change Management Procedure *OETI-PMP-11*

Environmental Protection Agency
Office of Enterprise Technology and Innovation (OETI)

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Document Change History

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1. Introduction

This document defines the process by which staff within the Environmental Protection Agency's (EPA's) Office of Enterprise Technology and Innovation (OETI) perform organizational change management within projects.

1.1 Purpose

This document defines the methodology, process flow, and relevant standards by which OETI project staff perform organizational change management activities and identify participants and their responsibilities.

1.2 Background

Introducing new Information Technology (IT) systems and business processes, especially into a diverse and geographically dispersed organization, presents challenges that should be managed proactively. Understanding the impact that change will have on the organization, its people, and the processes of preparing strategies and action plans to manage the impact of that change is called change management or Organizational Change Management (OCM).

Failure to address organizational and individual resistance to change often leads to project failure. According to one study, only 20 percent of all organizational change efforts are successful.¹ People resist change for many reasons, including uncertainty about the future, uneasiness about their roles, and concern about learning new skills. In some cases, people view the process of change itself as difficult. Change can involve risk (e.g., disruption of services, loss of information) and requires considerable effort and time to manage effectively. However, developing and implementing a rational plan for change is a primary factor cited in successful initiatives.² Proactive change management not only helps manage the risk inherent in changing an organizational process or system, but also helps realize the benefits of organizational change for stakeholders.

Organizational change efforts can encompass several types of activities. The following activities are commonly implemented for large complex projects and are covered under the scope of this document:

- **Business Process Re-engineering** – Business process reengineering (BPR) is an approach for evaluating current business processes and determining the changes needed to satisfactorily support future operations. BPR is frequently conducted as part of a system implementation and is performed in advance of the actual implementation in order to identify the types and scope of business process change.
- **Communication** – Communication addresses the approach for delivering messages to the project's stakeholders. Communication goals should tie to the broader organizational goals and take into account key stakeholder concerns, issues, and preferences for communication.

¹ Excerpt from a speech given by James O'Toole, author of *Leading Change: Overcoming the Ideology of Comfort and the Tyranny of Custom*, Atlanta, January 28, 1999.

² Uttam Narsu, "Successful Change Management Requires Focus on Key Metrics, Forrester Research, April 2004 and "Best Practices in Change Management: Benchmarking Report of 288 Organizations," Change Management Learning Center, 2003.

- Training – Training involves the transfer of knowledge. Training is usually required as part of any system implementation or major business change. Training may be conducted by subject matter experts or a project may follow a train-the-trainer approach.
- Workforce Planning - Workforce planning (WFP) is a management framework for making staffing decisions and related investment decisions based on an organization's mission, strategic plan, budgetary resources, and desired workforce competencies. It allows organizations to identify the number, type, and level of staff needed to sustain work once the change is implemented.

2. Approach

This section explains the approach used to develop the organizational change management procedure. It details the assumptions, the degree of scalability of the procedures, and the industry standards, best practices, and EPA current practices consulted in creating this procedure.

2.1 Assumptions

The following assumptions guide this organizational change management procedure:

- The project team has defined the change and justification for the overall OCM during the project initiation and planning activities outlined in *PMP-02 Project Initiation and Planning Procedure*.
- Projects managed by OETI that require change management will identify a Project Sponsor who is visible, active, and supportive of change.

2.2 Scalability

Before EPA Project Managers undertake any OCM effort or follow any change management procedure, they should define the scope of the change so that those who sponsor, manage, and implement change activities have a good understanding of its size, extent, and impact. To help define the change, OETI staff need to determine a number of factors, including:

- The magnitude of the change—number of areas/departments/offices/projects impacted--or the reach of the change.
- The change characteristics—impacts on organization culture, business processes, systems, etc.
- The number of stakeholders affected by the change.
- The resource availability and constraints to implement the change.

Project Managers use these criteria, along with other factors, to determine at what level to apply OCM to their projects and to what extent. Systems, large projects, and projects with a Project Complexity Model rating of “High” or “Medium” complexity³ have a greater likelihood of effecting organizational change. Therefore, OCM is typically needed for these projects. However, the extent of OCM procedures and the number of resources involved in the OCM process can be adjusted based on the unique project requirements, especially for small projects, projects without stated/baselined requirements, or non-system projects.

If a project team is developing a system for a particular office within the organization, the operations of that office may be the only part of the entity that needs to be examined. However, if OETI is implementing a multi-office or agency-wide system, it may be necessary to examine the operations of the affected offices. Table 2.1 provides scalability guidelines as follows:

Table 2.1. OCM Procedure Scalability Guidelines

Procedure	Does the Procedure Apply?	Determining Procedure Scalability
OETI-PMP-11 Organizational Change Management Procedure	<ul style="list-style-type: none"> ▪ Applies if a project has a Project Complexity Model rating of “High” ▪ For all other Project 	<ul style="list-style-type: none"> ▪ Procedure is scaled based on project size, number and type of stakeholders, Project Complexity Rating, the type and degree of business change, the degree to which job roles and/or responsibilities change, and the type of

³ Project Complexity Model, *OETI-PMP-02 Project Initiation and Planning Procedure*, December 2006.

Procedure	Does the Procedure Apply?	Determining Procedure Scalability
	<p>Complexity Model ratings, components of the procedure may be adapted and scaled as necessary to achieve project objectives</p> <p>Note: Some application of the communication component is required for all projects</p>	<p>communication required (both internal and external)</p> <ul style="list-style-type: none"> ▪ Components of the procedure may apply and are scaled accordingly if: <ul style="list-style-type: none"> – There is change to the way a team or office performs its functions [Business Process Reengineering, Workforce Analysis, Training] – New capabilities (typically automation) are being introduced to a team or office (Workforce Analysis, Training) – The initiative affects customers – Job roles and responsibilities are impacted

Components of this procedure are flexible and are modified based on project size and resource constraints; the basic procedure remains the same. However, the project team may allocate more resources to OCM for larger and more complex projects than for others.

2.3 Best Practices

The OETI vision includes best practices from industry and EPA. This procedure incorporates the following existing regulations, policies and best practices.

- **EPA regulations and standards**
 - The EPA Interim Agency System Life Cycle Management (SLCM) Procedures. Available at: http://intranet.epa.gov/otop/policies/Extended_InterimProcedures.pdf
- **Federal regulations, industry standards, and best practices**
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- Software Engineering Institute (SEI) Capability Maturity Model Integration (CMMI), CMMI for Systems Engineering, Software Engineering, Integrated Product and Process Development, and Supplier Sourcing, Version 1.1, CMMI-SE/SW/IPPD/SS, dated March 2002.
- Thomas, Stephen. Successfully Managing Change in Organizations. Industrial Press, 2001.

3. Roles and Responsibilities

Table 3-1 presents the roles and responsibilities for OETI project staff involved in organizational change management activities. This table lists functions or tasks that each project role performs. While each role will be assigned to an individual staff member, an individual may perform multiple roles for a project.

Table 3-1. Change Management Roles and Responsibilities

Role	Responsibilities
Project Sponsor	<ul style="list-style-type: none"> Serves as business leader who is in a position to authorize the change (typically senior manager or executive) and has access to resources and funding Participates in an active and visible manner throughout change Helps build a coalition with peers and managers to support the change Communicates effectively with stakeholders from an executive level
Project Manager	<ul style="list-style-type: none"> Appoints OCM Lead Provides oversight to the entire OCM process Participates in OCM planning process Reviews and approves the OCM Plan Approves the Communication and Training Plans (as applicable) Provides input for OCM, training, communication, WFP, and BPR activities (as applicable)
Project Team Lead	<ul style="list-style-type: none"> Participates in the OCM planning process (as applicable) Participates in implementing OCM plan (as applicable) Works with OCM Lead and OCM sub team Leads to evaluate change management results
OCM Lead	<ul style="list-style-type: none"> Interprets applicable EPA policies for relevant change management activities Participates in OCM planning process Develops and updates the OCM Plan Oversees execution of the OCM Plan Manages the execution of the Change Readiness Assessment Assigns OCM sub team Leads for BPR, Communication, Training, and WFP (as applicable) Coordinates efforts among OCM sub team Leads Works with Project Team Leads and OCM sub team Leads to evaluate change management results and makes recommendations for improvements
OCM Support Team	<ul style="list-style-type: none"> Supports the development of the OCM Plan Implements the OCM Plan Executes the Change Readiness Assessment Provides support to Change Management stakeholders
Business Process Reengineering Lead	<ul style="list-style-type: none"> Identifies business process needs Designs, tests, updates, and implements new processes Evaluates results of BPR activities; reports results to OCM Lead
Communication Lead	<ul style="list-style-type: none"> Conducts baseline communications assessment Develops key messages Develops and implements Communication Plan

Role	Responsibilities
	<ul style="list-style-type: none">▪ Researches and uses targeted communication tools and tactics to disseminate key messages▪ Develops communication materials▪ Evaluates results of communication activities; reports results to OCM Lead
Training Lead	<ul style="list-style-type: none">▪ Develops the project Training Plan▪ Implements the project Training Plan▪ Monitors and measures success of the Training Plan; reports results to OCM Lead▪ Incorporates feedback and revises the Training Plan as necessary
Workforce Planning Lead	<ul style="list-style-type: none">▪ Identifies WFP requirements and desired outcomes for the project▪ Conducts WFP and coordinates with human resources (HR) and union representatives, as appropriate▪ Identifies gaps between new work demands and existing staff skills▪ Identifies options to address gaps▪ Facilitates selection and implementation of workforce solution(s)▪ Evaluates results of WFP activities; reports results to OCM Lead

4. Procedure

This section presents the process flow and steps for OETI's OCM processes and describes each step of the process in detail.

4.1 Process Flow Diagram

Figure 4-1 identifies the process for OCM.

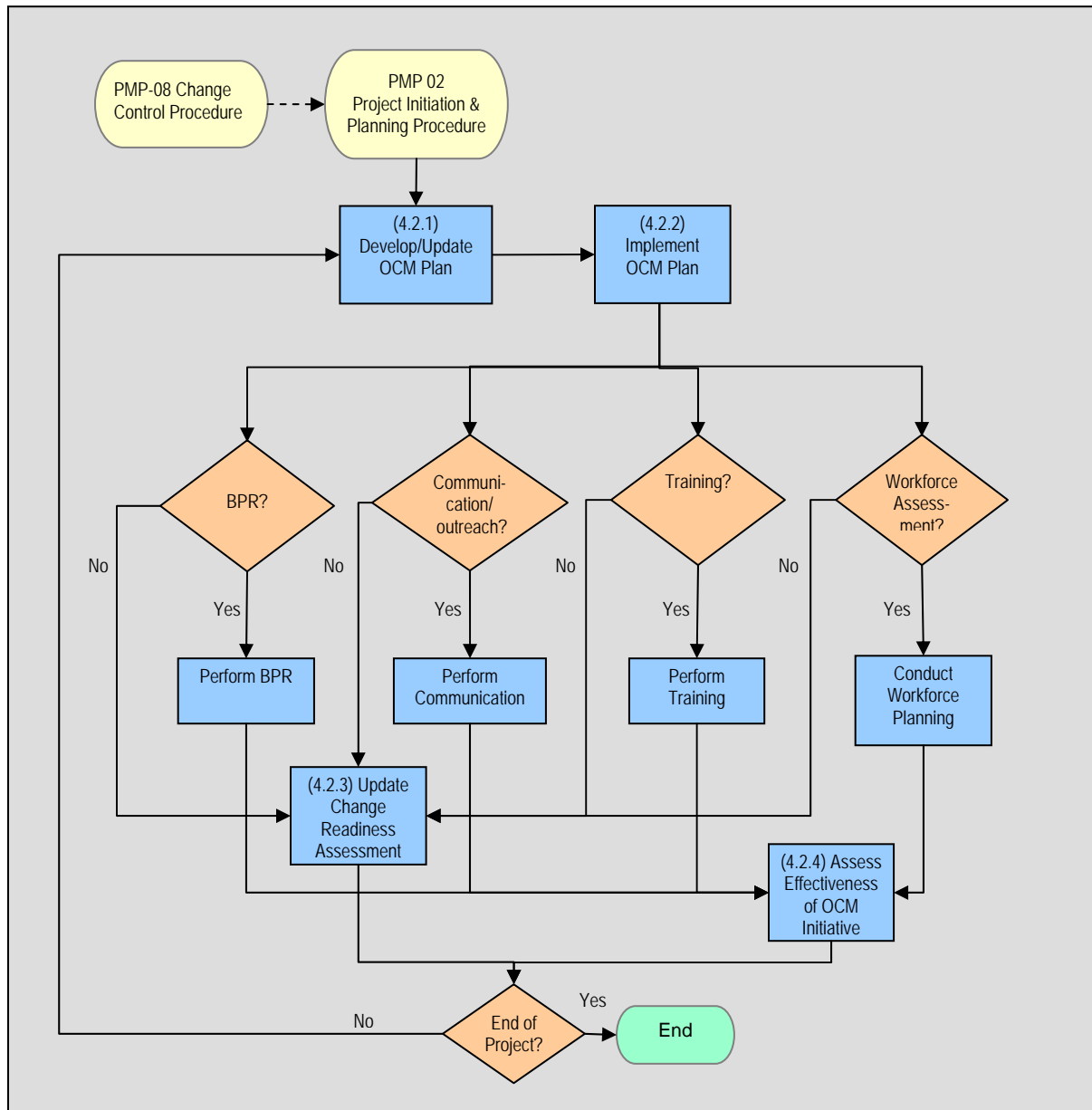


Figure 4-1. Organizational Change Management Process

4.2 Steps

The following sections describe the steps of the OCM process shown in Figure 4-1 and the roles involved in its execution.

4.2.1 *Develop/Update OCM Plan*

This procedure begins after project approval or alteration to the scope of an existing project, as determined through completion of *PMP-02 Project Initiation and Planning Procedure*. The Project Manager appoints the OCM Lead, and the OCM Lead is responsible for developing or updating the OCM Plan for the project. Project Team Leads may also participate in the planning or updating, depending on the degree to which their teams will be involved in OCM tasks. The OCM Lead may also assign staff to support the OCM efforts, comprising the OCM Support Team. Appendix E describes the development of an OCM Plan in detail. Items typically covered during OCM planning include:

- Scope
- Goals
- Identification of Project Stakeholders
- Roles and Responsibilities
- Budgeting, Resources, and Schedule Implications
- Timing and Frequency of Activities
- Methodologies or Tools Used or Needed
- Reporting Formats and Metrics to Measure Effectiveness
- Change Readiness Assessment

The Project Manager reviews and approves the OCM Plan. The plan identifies an overarching approach for controlling change and managing the barriers associated with the change. The OCM Plan should encompass a clear approach for developing the organization's vision and change management goals, a plan for identifying and understanding the stakeholder population, and clear activities for assessing the readiness of the organization.

Since there are many obstacles to effecting change successfully, risks and mitigation strategies as well as feedback mechanisms also need to be identified in the OCM Plan. Coordination with risk management staff should occur as prescribed in *PMP-05 Risk Management Procedure*. A sample template of an OCM Plan is provided in Appendix F.

A change readiness assessment is performed as part of the implementation of the OCM Plan. The assessment facilitates identification of the type of change required as well as the scope of change activities for the project. The specific components of the assessment are addressed in Section 4.2.2.

4.2.2 *Implement OCM Plan*

As the OCM Plan is developed, four specific decisions need to be made. The OCM Lead should assess the need for business process reengineering, communication support, training support, and/or workforce planning. All of these implementation elements fall within the spectrum of OCM and are described below.

- ***Business Process Reengineering-*** If one or more new business process is identified or there is a need to modify a current process, the OCM Lead may decide to conduct business process reengineering. BPR employs a structured approach to improve process effectiveness and efficiency by analyzing the current process, identifying opportunities for improvement and applying industry best practices, and constructing new paradigms for process performance. If BPR is required, the OCM Lead identifies a Business Process Reengineering Lead who works with the OCM Support Team to design, refine, test, and implement the process(es) as prescribed in the OCM Plan. For more details about BPR planning and implementation, see Appendix K.

- **Communication** - If the extent or impact of the change warrants a formal communication effort, the OCM Lead may decide to perform a structured communication/outreach program. This structured program builds awareness, understanding, and enthusiasm for an initiative, particularly if its benefits are clearly articulated. If a communication/outreach effort is required, the OCM Lead identifies a Communication Lead to execute the portions of the OCM Plan related to communication and stakeholder management. Details of the steps involved in performing communication/outreach are presented in Appendix N. Because much of the communication/outreach process deals with documentation, the Communication Lead follows *PMP-12 Document Management Procedure* as applicable.
- **Training** - If training is required, the OCM Lead assigns a Training Lead to develop a project-specific Training Plan. The Training Lead develops, implements, and monitors and measures success of the Training Plan, and incorporates feedback and revises the Training Plan as necessary. Details of planning, managing, and implementing a successful training program are described in Appendix Q.
- **Workforce Planning** - Workforce planning is a systematic process for identifying the human capital required to meet the goals of the organization, and developing the strategies to meet these requirements. If workforce planning is needed, the OCM Lead assigns a Workforce Planning Lead who coordinates with human resources and union representatives as appropriate as well as works with the Project Manager to identify the appropriate staff skills. Appendix R provides detailed steps associated with workforce planning.

If the determination is made that none of the implementation elements (i.e., business process reengineering, communication, training, and workforce planning) is necessary, the OCM Support Team updates the change readiness assessment (see step 4.2.3) with documentation supporting this determination. If the determination is made to move forward with any of the implementation elements, the OCM Lead, OCM sub team Lead(s) and the Project Team Lead(s) assess the effectiveness of the OCM initiative (see step 4.2.4).

The Project Manager and the OCM Lead work closely with stakeholders during the implementation of the OCM Plan. Additionally, the OCM Lead works to ensure that performance metrics and measurement techniques are implemented to gauge the progress made and ultimate success of the implementation of the change management activities as explained in 4.2.4 below.

4.2.3 Update Change Readiness Assessment

The OCM Support Team reviews the results of the initial Change Readiness Assessment developed during the OCM planning and performs a comparative analysis. The results indicate whether the OCM Plan is on target or needs to be adjusted in order to make the implementation successful. The results may also indicate whether the Project Sponsor needs to be more active and visible to prepare the organization for upcoming changes. Procedures for updating a Change Readiness Assessment include:

- Review initial Change Readiness Assessment and feedback
- Conduct further data collection activities
 - Workshops
 - Focus Groups
 - Brown Bags
 - Interviews
 - Surveys

- Work with project leadership to provide visible involvement and buy-in
 - Encourage leadership to participate in focus groups, brown bags, workshops, etc
 - Have leadership write a memo encouraging involvement in survey
- Work with Project Team Leads to gain their perception of the organization's readiness. Determine if there is a common perception regarding attitudes and behaviors from stakeholders
- Document and analyze assessment data to identify themes and provide information to senior leadership

4.2.4 *Assess Effectiveness of OCM Initiatives*

Once the stakeholders are identified and the engagement strategy is in place, it is very important that the effectiveness of the outreach is monitored. The OCM Support Team works with stakeholders to implement and monitor the stakeholder engagement strategy. The development and use of change management tools will help manage outreach activities and provide historical data in the future. To respond to the stakeholder changes, the OCM Support Team updates the OCM Plan as needed.

Procedures for reviewing and adjusting the OCM Plan include:

- Reviewing Change Readiness Assessment
- Reviewing stakeholder feedback
- Reviewing OCM Plan
 - Based on reviews, determine what methods prescribed in the OCM Plan are successful
- Aligning change management events to overall project milestones
 - When planning OCM events, ensure the overall project plan and placement within the project life cycle are taken into consideration
 - As required, refer to deployment and training schedules when determining how to adjust OCM Plan
- Reevaluating and adjusting the change activities within all levels of the organization
 - Ensure that the roles and responsibilities of individuals responsible for OCM activities have been documented at all levels
 - Work with the Communication Team Lead to ensure channels of communication are in place across and up and down the organization
- Reviewing and communicating roles and responsibilities for managing change
 - Work closely with the Communication Team Lead to ensure message development is appropriate for each stakeholder
- Redefining success. Acceptance from 100 percent of stakeholders is an unrealistic goal. It is important to determine what success means to the organization.
 - Work with project leadership to define success
 - Include measures indicating whether stakeholders are receiving key messages and moving up the change curve. Determine the appropriate measures for the organization and track them
- Continuing to evaluate the outreach efforts

The OCM Lead and OCM Support Team should continue to evaluate and refine OCM activities. It is also important for the OCM Sponsor to celebrate early successes with change activities.

5. Considerations

The following provides a list of considerations to keep in mind when performing organizational change management.

5.1 OCM Considerations

Resistance to any change is natural and expected. EPA managers should expect and plan for some resistance so that it can be identified early and addressed in a proactive fashion. Additionally, it is important to make a compelling case for change as well as explain the risks and consequences associated with failure to change. If a change is viewed as unimportant, stakeholders will not support it. The Project Manager and OCM Lead should also consider stakeholders' past experience with change implementation.

5.2 Process Considerations

A change effort focused on process improvement or system implementation, or a combination of the two, will require changes to processes. Any change to a process will also impact the overall operation. Thus, while process change may enhance the efficiency and effectiveness of an operation, it may also hinder other aspects of the overall operation.

Because of the interdependent nature of processes, participants and systems, changes to any one element requires changes to the other two, as well. Planning, scheduling, and training are all critical elements to the successful deployment of process change.

5.3 Training Considerations

Instructional Systems Development is a process by which effective training materials are developed and delivered. The focus is more on the effectiveness of the training to develop the skills and knowledge of participants, and less on the individuals themselves. Therefore, it may be helpful to keep these suggestions and lessons learned in mind as training is developed:

- If a trainee fails to acquire the skills and knowledge stated in the instructional goals, it is the training that has failed
- In instructional systems development, the performance of individuals is not compared against that of other participants, but against a pre-determined set of criteria that reflect what a skilled practitioner normally does. The goal is to bring everyone's performance to the same high level.
- The most effective training content is developed not by asking the question, "What will I teach them," but rather, "What does someone need to know or be able to do?"

Appendix A Acronyms

The following acronyms shown below are referenced in this document.

Abbreviation	Description
BPR	Business Process Reengineering
CCB	Configuration Control Board
CI	Configuration Item
CM	Change Management
CML	Configuration Management Library
CMMI	Capability Maturity Model Integration
CONOPS	Concept of Operations
COTS	Commercial Off the Shelf
CR	Change Request
CSA	Configuration Status Accounting
DI	Data Item
DM	Data Management
DO	Delivery Order
EPA	Environmental Protection Agency
HR	Human Resources
OCM	Organizational Change Management
OETI	Office of Enterprise Technology and Innovation
PDP	Project Defined Process
PMBOK®	Project Management Body of Knowledge
PMI	Project Management Institute
QA	Quality Assurance
QM	Quality Management
SCM	Software Confirmation Management
SEI	Software Engineering Institute
SME	Subject Matter Expert
SOP	Standard Operating Procedure
SWOT	Strengths, Weaknesses, Opportunities, and Threats
TO	Task Order
VDD	Version Description Document
WA	Work Assignment
WFP	Workforce Planning
WI	Working Instructions
WO	Work Order

Appendix B Checklist

The following provides a checklist for the key activities associated with each step of this change management procedure.

Activities	Responsible Parties
4.2.1 Develop/Update OCM Plan	
<input type="checkbox"/> OCM Lead is assigned	Project Manager
<input type="checkbox"/> OCM planning is performed	Project Manager, OCM Lead, Project Team Leads
<input type="checkbox"/> OCM Plan is developed	OCM Lead
<input type="checkbox"/> OCM Plan is reviewed and approved	Project Sponsor, Project Manager
4.2.2 Implement OCM Plan	
<input type="checkbox"/> Initial change assessment is conducted	OCM Lead, OCM Support Team
<input type="checkbox"/> Applicability of BPR for the project is determined <input type="checkbox"/> Applicability of a Communication Plan for the project is determined <input type="checkbox"/> Applicability of training for the project is determined <input type="checkbox"/> Applicability of workforce planning for the project is determined <input type="checkbox"/> Project Team Leads are assigned for applicable OCM project activities	Project Manager, OCM Lead, OCM Support Team
<input type="checkbox"/> OCM performance measurement techniques are implemented <input type="checkbox"/> Approaches have been reviewed by appropriate leadership, and mapped against other project milestones	OCM Lead, OCM Support Team
4.2.3 Update Change Readiness Assessment	
<input type="checkbox"/> Comparative analysis with initial Change Assessment is conducted <input type="checkbox"/> Gaps are assessed between desired state and current state <input type="checkbox"/> Additional OCM activities are defined as a result of the analysis (as required) <input type="checkbox"/> Change readiness assessment has been conducted	OCM Lead/OCM Support Team
4.2.4 Assess Effectiveness of OCM Initiatives	
<input type="checkbox"/> Strategy for monitoring and measuring progress/success is defined <input type="checkbox"/> Effectiveness of OCM initiatives is assessed <input type="checkbox"/> OCM activities are added or refined as necessary	OCM Lead/OCM Support Team

Appendix C Additional Resources

	Form/ Guidance	Source	Website
1.	Communication Plan Template	State of Washington Department of Information Resources Commonwealth of Virginia	http://www.isb.wa.gov/tools/pmframework/templates/communicationsplantemplate.doc http://www.vita.virginia.gov/projects/cpm/templates/Communications-Plan-Template-1.2.doc
2.	Training Plan Template	State of Washington Department of Information Resources U.S. Department of Housing and Urban Development	http://isb.wa.gov/tools/pmframework/templates/trainingplantemplate.doc http://www.hud.gov/offices/cio/sdm/devlife/tempchecks/tptemplate.doc
3.	Sample Organizational Management Plan	State of New York	http://www.oft.state.ny.us/pmmp/guidebook2/templates/ProjectPlanning/OrgChangeManagementPlanv3BLANK.doc

Appendix D Interface Requirement

The purpose of this appendix is to provide general guidelines for collecting the appropriate information from contractors to ensure seamless integration of project data and promote efficient approach to Organizational Change Management activities. Frequently, data is needed by support contractors to enable the Project Manager to accurately assess the status of change initiatives relative to the change objectives defined for the project. This is especially true if the contractor has sole responsibility for OCM tasks. In addition, the interface points among the different parties, both government and contractor, need to be fully delineated to ensure that each party understands their specific role and responsibility in data management and reporting and that the information can be efficiently captured utilizing the project's established management processes and tools. As a result it is essential that these data, reporting, and interface requirements be well defined early in the process in order to ensure that they are fully delineated in the awarded contract, Work Assignments (WA)s, Delivery Order (DO)s, and/or Task Orders (TO)s. In addition, the frequency, format and mode of submission for the deliverables and status reporting requirements also need to be defined within the contract or WA, DO, or TO.

The following series of questions is provided to help determine the data, reporting and interface requirements that may be required for support of the organizational change management activities defined for the project. Overall the questions are designed to help refine what kind of information will be needed to ensure effective change management occurs for the project and the correlating responsibilities of the contractor.

- Will the contractor be required to lead organizational change efforts?
 - Will the contractor need access to project stakeholders?
 - Will a Project Sponsor be required of the government for organizational change activities led by the contractor?
 - Will the contractor be responsible for lead positions for organizational change tasks?
 - What kind of format will the contractor need to provide organizational change plans (such as a project-wide Communication Plan)?
 - Will the contractor be required to feed any automated processes or tools to support organizational change activities?
 - If so, what tools (if any) will the contractor be required to interface with or provide data to support?
 - Will the contractor be required to provide interim status reports or assessments of change efforts underway?
- Will the contractor be required to provide training?
- Will the contractor be required to travel to multiple sites to deliver training?
- Will the contractor need access to specific tools or software to support training delivery?
- Will the contractor be required to produce training materials? If so, in what formats and how many?
- Will the contractor need access to specific workgroups for interviews or other change assessment activities?

Appendix E OCM Plan Components

This appendix provides a description of the initial components of an OCM Plan, and the focus and benefits of these components. Additionally, BPR, Communication, Training, and WFP components are described in other appendices in this document. See Appendix F for a sample OCM Plan template.

E.1 Define Vision and OCM Goals

The OCM Lead works with stakeholders to articulate what the future will look like when the new system or business process has been successfully implemented. This shared vision allows stakeholders to support the change process. At the same time, the project team works to identify the primary goals and objectives of a change effort and defines the OCM Strategy for the project. See Appendix G for a sample OCM Strategy template.

Change efforts focused on improving effectiveness and/or efficiency often require detailed analysis of time and/or cost required to perform process steps. Change efforts related to a system implementation focus on identifying processes or process modifications needed to support the new system. In some cases, a change effort involves both and thus includes both types of analysis. The type of change effort(s) required for the project should be defined as part of the vision as well as why they are needed for the project. The OCM Lead ensures that the planned change management activities documented in the OCM Plan are aligned to the overall Project Management Plan and the system life cycle phase(s).

Another key part of the visioning and goal setting step is to define success and to determine measures that will assess success. While acceptance from 100 percent of stakeholders is an unrealistic goal, it is important to determine what success means to the organization. The OCM Lead documents performance measures in the OCM Plan.

E.2 Engage Stakeholders and Conduct Stakeholder Analysis

The OCM Support Team, with the help and support of the Project Manager identifies and engages key stakeholders who will be affected by the new systems or business processes. Stakeholder engagement begins early in the process, creating opportunities to understand and provide input to the process, and continues throughout the life cycle of the change initiative.

Stakeholder analysis requires understanding the stakeholders who are affected by the implementation of the new system or business process. They can be persons, groups, or organizations. For successful program outreach efforts, the program must identify and understand the needs of stakeholders. This will facilitate message development and the selection of audience-specific change management tools and channels. Change management activities must focus on soliciting and addressing stakeholder concerns. Conducting a stakeholder analysis allows the OCM Support Team to assess stakeholder interests, needs, concerns, and influence on the new system or business process. A stakeholder analysis:

- Identifies persons, groups, or organizations that may influence the program either positively or negatively
- Identifies and addresses stakeholder needs, issues, and concerns
- Helps shape the communication strategy
- Can be used to adjust program initiatives to address stakeholder interests.

As part of the stakeholder analysis, the OCM Support Team, in coordination with the Communication Lead (if designated) designs methods for stakeholders to provide feedback on the information they are receiving about the implementation. To keep stakeholders engaged, as much information as possible must be disseminated to the right stakeholders at the right time. The information must be honest and accurate about any issues and explain what they mean to the program and the roll-out of the new system.

For more information on how to develop stakeholder analyses, refer to Appendix H.

From the data gathered, the OCM Support Team develops a Stakeholder Engagement Strategy that describes each segment's level of involvement in the new system or business process implementation and what level of information they need to stay engaged in the process. Details about the Stakeholder Engagement Strategy are found in Appendix H.

E.3 Conduct Change Readiness Assessment

To complete the OCM Plan, the last step is to conduct an initial Change Readiness Assessment to evaluate stakeholder awareness, understanding, and buy-in for change activities. The OCM Support Team uses the Change Readiness Assessment to estimate how prepared the organization is to develop and deploy new capabilities. The assessment has the following objectives:

- Identify change issues and barriers to organizational change
- Monitor changes in EPA stakeholders' response to change over time
- Gauge senior leadership's experiences and interest in leading the change effort
- Assess EPA's perception and willingness to accept change based on past experiences.

The OCM Support Team conducts Change Readiness Assessments throughout each phase of the project. The assessment results provide a snapshot of the organizational climate at key points in the change management process.

To support this work, the OCM Lead should also develop both an Organizational Change Profile and a Risk Assessment Plan to assess the organization's willingness to change and to mitigate any potential risks associated with OCM efforts. For more information on how to conduct an Organizational Change Profile and Change Readiness Assessment, see Appendix I. For information about risk, see *PMP-05 Risk Management Procedure*.

Appendix F Sample OCM Plan Template

This appendix provides a sample OCM Plan template that may be used and/or tailored as appropriate according to project needs.

OCM Plan Template

Acceptance / Approval Page

DOCUMENT CHANGE HISTORY – Complete the version, date, author and description column to accurately describe the modifications made to this document.

Version	Date	Author	Description of Changes
V X.X			

1.0 INTRODUCTION

1.1 PURPOSE

[This section defines the purpose of OCM. Example: The OCM Plan describes the tactical approach for increasing stakeholder awareness, understanding and buy-in for the [Project Name] OCM effort.]

1.2 SCOPE

[This section defines the parameters of the OCM Plan. Add any text necessary to define what is included and what is excluded as part of the scope of the strategy. This text may:

- Name the specific entity, product, project team, and/ or component for which OCM activities are performed and those that are expressly excluded
- Describe why change is needed and the risks associated with not changing
- Describe the benefits of the change effort
- Identify if contractor support is used on the project and if they will be the subject of communication activities
- Describe other boundaries for the strategy

1.3 REFERENCE DOCUMENTATION

[This section identifies the references, standards, procedures and other documents used to develop the communication activities for the project. This list may include:

- <project name> Project Management Plan
- <project name> Communication Strategy
- <project name> Communication Plan
- <project name> OCM Strategy
- <project name> Risk Management Plan
- <project name> Statement of Work and/or Contract and/or Applicable Contractual Requirements
- Other project documentation, as necessary
- Internal or external communication resources or standards, as applicable.

2.0 OCM ACTIVITIES

[This section describes the tools and tactics that will be used to increase stakeholder awareness, understanding and buy-in for the OCM Effort]

Activity	Description and Rationale	Timing	Method	Target Audience	Evaluation Tool
<i>[OCM Activity(i.e., focus groups, roadshows, etc.)]</i>	<i>[What is the activity? Why is this activity relevant to this project?]</i>	<i>[When should the activity be undertaken?]</i>	<i>[How will the activity be implemented?]</i>	<i>[Who is this activity targeted to?]</i>	<i>[How will this activity be evaluated?]</i>

3.0 Evaluation

[This section describes how the OCM effort will be evaluated and assessed for effectiveness.]

APPENDIX A - ACRONYMS

APPENDIX B - DEFINITIONS

Appendix G Sample OCM Strategy Template

This appendix provides a sample OCM Strategy template that may be used and/or tailored as appropriate according to project needs.

OCM Strategy Template

Acceptance / Approval Page

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- Internal or external communication resources or standards, as applicable.

1.4 OCM APPROACH

[This section describes the overall approach increasing stakeholder awareness, understanding, and buy-

in.]

2.0 OCM BEST PRACTICES

[This section provides a brief description of the OCM Best Practices the organization should have in mind in building their OCM Strategy.]

3.0 GOALS AND OBJECTIVES

[This section describes the goals and objectives for the OCM effort]

4.0 STAKEHOLDER ANALYSIS

[This section describes the results of the stakeholder analysis. The major stakeholders should be described in this section including their issues and concerns and ways to mitigate them.]

5.0 CHANGE READINESS ASSESSMENT

[This section describes how the change readiness assessments will be undertaken to assess the organization's willingness and ability to change.]

6.0 ROLES AND RESPONSIBILITIES

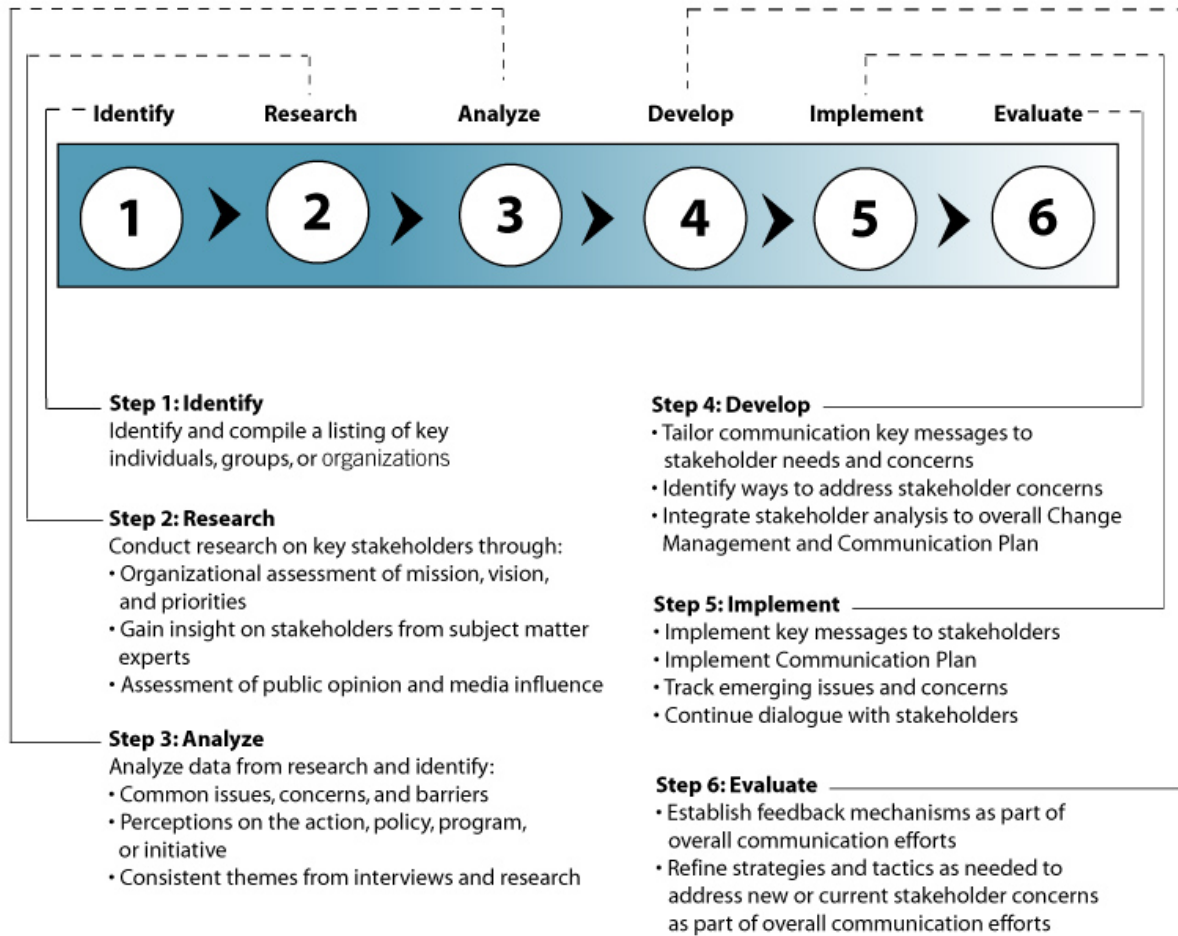
[This section provides a description of the roles and responsibilities for key participants involved in implementing the Communication Strategy. It also provides the hierarchy of roles within EPA.]

APPENDIX A - ACRONYMS

APPENDIX B - DEFINITIONS

Appendix H Sample Stakeholder Analysis

Below are steps for conducting Stakeholder Analyses.



Procedures for developing a stakeholder analysis include:

- Identifying key leaders who support the new system or business process implementation
- Reviewing and fully understanding organizational charts and identifying impacted individuals or organizations
- Reviewing and fully understanding the Business Process Designs to see where changes are taking place and how they impact stakeholders
- Reviewing the organization's mission, vision, and priorities to assess the importance placed on individual activities, initiatives, and programs
- Preparing a variety of strategies in advance for dealing with potential conflict. Internal stakeholders can be:
 - People whose way of operating will change
 - People who need to learn new processes and/or technology
 - People who, as internal customers, are affected by the change

- People who need to provide support (resources and funding) for the change
- Identifying external stakeholders. There may be external groups who need some level of communication/engagement.
 - Determine whether the external stakeholders will be affected by the change and if they perceive themselves as having a stake in the organization.
 - Research stakeholder interest levels. How much impact does the change have on them?
 - Examples of external stakeholders include: the media, unions, the public, external customers and vendors, and Congress
- Using all communication channels available for use. Research internal web sites, media outlets, list serves, and user groups, to name a few. Check newspapers and other media to understand public opinion on the organization or effort.
- Interviewing stakeholders (as many as possible) with some representation from each stakeholder group to understand their issues, concerns, and opinions on the change effort
- Identifying influential stakeholders (recognized leaders and innovators)
- Identifying potential resistors to or derailers of the change effort
- Identifying ways to address/mitigate stakeholder concerns
- Integrating stakeholder analysis to other OCM activities including communication, training, and workforce planning

H.1 Develop and Implement Stakeholder Engagement Strategy

Once the stakeholder analysis is complete, the OCM Support Team determines how to engage and manage the stakeholders. Procedures for developing and implementing a stakeholder engagement strategy include:

- Identifying and prioritizing change targets (this activity will build off the stakeholder analysis)
- Identifying stakeholder relationship managers
- Identify principles and techniques (protocols) for engaging stakeholders
- Planning activities to involve stakeholders including inviting their participation in:
 - Creating vision and mission statements
 - Baselining
 - Implementation planning
 - Deliverable reviews (internal stakeholders)
 - Various interviews, working groups, surveys, etc.
- Planning process for coordinating stakeholder engagement events across project teams
- Developing initial feedback mechanisms
- Sharing strategy with all stakeholder managers and ensure understanding of roles and responsibilities (in addition to sending electronically, follow up with a team meeting)
- Facilitating the sharing of best practices and lessons learned across stakeholder managers

H.2 Develop Stakeholder Management Approaches

Once the stakeholders are identified and the engagement strategy is in place, it is very important that the effectiveness of the outreach is monitored. The OCM Support Team should work with stakeholder relationship managers to implement and monitor the effectiveness of the stakeholder engagement strategy.

Procedures for developing stakeholder management approaches include:

- Identifying stakeholder relationship management needs, including conducting interviews to better

- understand management interaction with stakeholders
- Developing tools and establishing roles and responsibilities for maintaining the tools. These can include:
 - Calendar of activities
 - Guides and handbooks outlining roles and responsibilities
- Making tools accessible
 - Ensuring stakeholder managers are aware of, are trained on, and have open access to tools
 - Monitoring effectiveness of tools and revising as needed
- Identifying feedback channels
- Determining the roles and responsibilities necessary for monitoring feedback
- Assigning team members to monitor and disseminate feedback

H.3 Develop and Implement Transformation Incentives Program

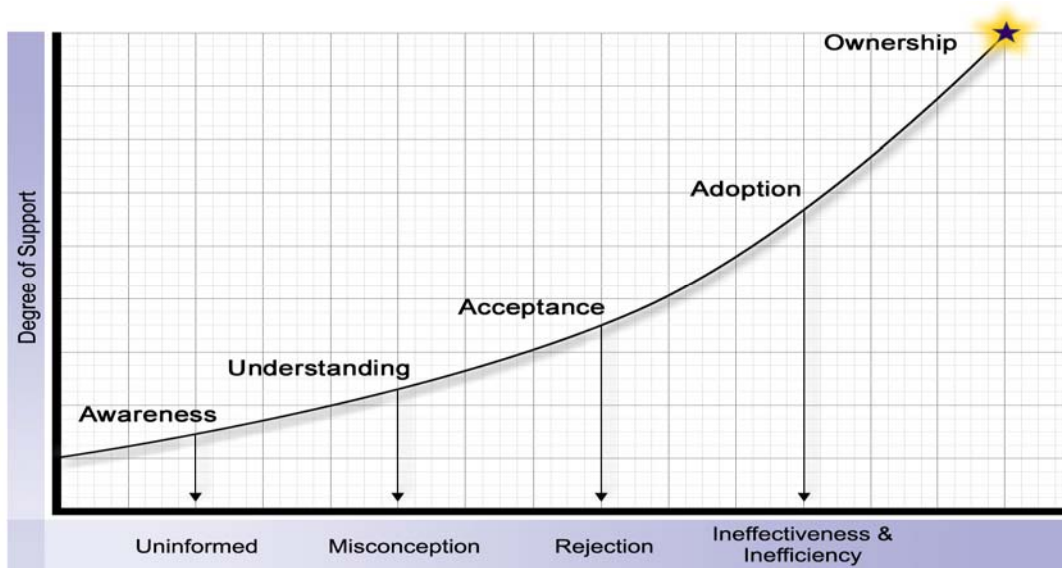
The OCM Support Team should determine the importance of incentives to the stakeholder community and develop an incentives program that will meet their expectations and encourage compliance with the change. In order for stakeholders to become change agents, an incentives program must be well defined and implemented.

Procedures for developing and implementing a transformation incentive program include:

- Assessing and incorporating an existing incentives program
 - Determine how incentives are received today. This is not a hard metric and refers to the emotional side of receiving awards but can be measured by the number of awards issued
 - Determine the importance and impact of awards on stakeholders
- Conducting interview or surveys assessing stakeholder desires for incentives
- Assessing how employees or groups are rewarded or sanctioned for performance against objectives, innovation, or accepting increased accountability
 - Chart what works at present within the organization
- Assign roles in executing the incentives program to senior leaders (create visibility at the highest level)
- Work with leadership to determine appropriate rewards and incentives for getting change agents signed on
- Develop roles and responsibilities for change agents in issuing awards and incentives to others
- Work with communication team to advertise the Transformation Incentives Program at communication events

Appendix I Change Readiness Assessment Components

The objective of OCM is to build stakeholder buy-in for program or project changes. Individual commitment to change will be achieved by moving stakeholders along the OCM Curve (Figure I-1), from first contact (state of low Awareness) to the point where stakeholders internalize the change (state of Ownership). Moving EPA stakeholders successfully up the OCM Curve will help to mitigate the risks inherent in the transition process. The down arrows indicate the undesired outcome (Uninformed through Ineffectiveness & Inefficiency) that the OCM Support Team seeks to prevent at each stage.



- Awareness—EPA stakeholders are unaware of the change initiative and do not know how it will affect their day-to-day processes.
- Understanding— EPA stakeholders begin to understand how processes will transform using the new system or business process
- Acceptance— EPA stakeholders understand change and seek to positively influence the outcome.
- Adoption—EPA stakeholders accept and actively promote change
- Ownership— EPA stakeholders are ready and willing to begin using the new capabilities and own the new system or business process

Figure I-1: OCM Curve – Stages of Readiness

I.1 Design Initial Change Readiness Assessment

The Change Readiness Assessment is designed to gauge organizational readiness for change created by the implementation of a new system or business process.

Procedures for designing an initial change readiness assessment include:

- Reviewing customer and employee satisfaction survey results over the past year
- Reviewing reports from previous change initiatives
- Developing interview guide
- Developing report template

I.2 Conduct Change Readiness Assessment to Develop Organizational Change Profile

The results from the Change Readiness Assessment provide content for the Organizational Change Profile. The profile analyzes the organization's current state and compares it against the desired future state to determine the gaps in terms of managing change. These gaps will also be used to identify risks, incentive programs, and program stewardship tools.

Procedures for conducting a Change Readiness Assessment and developing an Organizational Change Profile include:

- Planning facilities and scheduling sessions
- Facilitating sessions to gather preliminary thoughts on critical success factors for and barriers to change
 - Focus Groups
 - Interviews
 - Surveys
- Developing the change profile and archiving for future use when conducting Change Readiness Assessment during the testing phase
- Sharing information with project management and other project teams

See Appendix J for a sample Change Readiness Survey Template.

I.3 Develop Risk Identification and Mitigation Strategy

Every new systems or business process implementation has associated risks. The risks come from all facets of the initiative: requirements identification and definition, technical development difficulties, schedule slippages, lack of user support, understanding and interest from stakeholders and end users, etc. It is important for the project team to establish strategies to mitigate them. The greatest risk to an OCM strategy is that the stakeholders will disengage. To avoid this, as much information as possible must be disseminated to the right stakeholders at the right time. The information must be honest and accurate regarding any issues and what they mean to the program and the roll out of the new system.

Procedures for developing a risk identification and mitigation strategy include;

- Brainstorming potential project risks across project teams
- Estimating the likelihood of risks
- Predicting potential impacts for each identified risk
- Developing possible mitigation strategies for each identified risk
- Conducting a Strengths, Weaknesses, Opportunities, and Threats (SWOT) analysis to determine potential areas for success and areas that may present challenges for change communication
- Sharing analysis results with the project team and client leadership

The Risk Identification and Mitigation Strategy will be a living document and the project team should use it at every phase of the project. The OCM Support Team should:

- Monitor the risks and determine if any have emerged and to what degree
- Create reports illustrating the validity of risk identification and mitigation strategies
- Revisit risks and mitigations if variance is large
- Share reports with client and project leadership

Appendix J Sample Change Readiness Survey Template

[A change readiness survey answers the question: Where is my organization today? The survey looks at past practices and the current situation. The first sample question and prospective ratings present the format used for the survey; the following sample questions can be modified and added to the presentation survey format before distribution.]

Introduction

Below is a short survey instrument to help you begin the change assessment process in your organization. The survey takes about 5 minutes to complete. Please indicate your perspective on the following statements. Your viewpoints are of vital importance for EPA to develop a complete view of our readiness for change. Also note that only a cross-section of employees within your organization have been asked to provide their perspectives on this survey. All employees will be asked to provide input on *[Project Name]* in different ways over the next year. Your individual input is anonymous and will be kept confidential. Results from this survey will be shared in aggregate only.

		Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	Not sure
1	My organization has a history of responding and adapting to changing situations. (e.g., new ideas are encouraged and easily implemented)						
2	My organization generally implements change successfully.						
3	The desire for change is shared across my organization.						
4	A new organizational structure for Installation Contracting would be disruptive to my organization						
5	People generally share information and collaborate in my organization.						
6	People are able to maintain their dignity and self-respect during changes in my organization.						
7	Communications flow up and across my organization, as well as down.						
8	Managers and employees enjoy working in <i>[name of organization]</i> .						
9	My leadership and management teams are prepared to implement the new To-Be design.						
10	My leadership and management teams are able to work within the new To-Be design.						
11	My leadership team is willing to implement the new To-Be design.						
12	My management team is willing to implement the new To-Be design.						
13	Management communicates openly and frequently about organizational changes.						
14	Once accepted, the new To-Be design would have a net positive impact on employees.						
15	Employees feel adequately trained to perform their functions.						
16	There is a clear, positive rationale for <i>[Name of Change effort]</i>						
17	<i>[Sponsors]</i> are qualified and experienced enough to develop a plan.						
18	Potential changes to the business processes are a concern to employees.						
19	People in my organization can handle additional change.						
20	Most people I work with understand our mission and organizational values.						
21	I believe the To-Be design is sound.						
22	I understand the vision for the <i>[Name of Change effort]</i> .						
23	I believe we have sufficient time to accomplish the mission.						
24	I would be willing to participate in the survey again.						
25	I feel there was sufficient information about the survey available to me before participating.						
26	What questions, comments, or concerns do you have about the <i>[Name of Change effort]</i> ?						

Appendix K Business Process Reengineering Guidance

There are two primary reasons to engage in BPR. The first is to address process modifications that result from a system implementation or other aspect of a change effort. For example, the functionality of a new system, particularly a COTS package, may make current process(es) impossible to use and thus require modification to support the new system. BPR can also be used to make nonessential changes that would generate significant improvements to efficiency and/or effectiveness.

Business process reengineering is an approach for evaluating business processes and determining the changes needed for them to satisfactorily support operations. Change efforts, whether related to the implementation of a system or another change in operations, typically require changes to business processes. Changes may be made to business processes in order to align them to aspects of operations which have change, to improve efficiency or effectiveness of the business processes, or to do a combination of the two. Business process reengineering encompasses five key steps:

- Identify process needs
- Design new processes
- Refine new processes
- Test new processes
- Implement new processes

Depending on the particular change effort, certain aspects of each step may be more or less important. Further information on each of the steps is provided below.

K.1 Identify Process Needs

When EPA implements a change effort, it may create the need for one or more new processes or modifications to current processes. Identifying the business process needs should occur in the beginning stages of a change effort—during the requirements phase.

K.1.1 Review Goals, Objectives, and Scope of the Effort

It is important to ensure that the Business Process needs are in alignment with the overall OCM Plan. Procedures for this step include:

- Meeting with senior leadership to discuss goals, objectives, and scope of the effort
- Validating documented information with stakeholders, SMEs, and others
- Finalizing goals, objectives, and scope

K.2 Evaluate Current Environment

It is important to understand the current operations in order to determine the necessary process changes. Analysis of the current environment involves identifying the major functions and the processes conducted to accomplish these functions. This will include review of how the processes work, the roles involved with performing them, and the products they produce. It can also include analysis of current systems.

Multiple outputs may be generated from this analysis. These include a list of functions that might be impacted, a description and/or illustration of the processes that support these functions, a summary of the key individuals involved, a list of key products produced, an overview of supporting systems, and a summary of performance measures for the processes.

Procedures for analyzing current environment include:

- Reviewing relevant background materials such as strategic plan, organizational charts, process

- diagrams, and procedures manuals
- Determining the functions impacted by the change effort and the current (As-Is) processes that support them
- Developing an interview guide or protocol to gather detailed information on functions and processes
- Conducting interviews and/or focus groups with stakeholders and SMEs
- Developing key documentation about current environment such as:
 - Overview of current processes
 - Set of current (As-Is) process maps
 - List of current process participants
 - List of current systems utilized in processes
 - Summary of current performance characteristics
 - Description of current operational challenges
 - Other supporting materials as needed
- Validating the completeness and accuracy of the current environment documentation
- Identifying key areas of concern
 - Is the element essential to the business or non value added
 - How significantly is it impacted by the systems implementation
 - Are its characteristics problematic (e.g., excesses hand-offs, excess number of departments or people involved, etc.)
 - Does it hold potential costs savings or have a significant budget allocation
- Determining areas to consider for potential improvement opportunities

K.2.1 Analyze System Functionality

Understanding of the new system functionality and how it addresses requirements (assuming the change effort is specific to a system) involves the analysis of new system features, interfaces, and reports as they relate to business processes, and may also include evaluation of the differences between the current and new systems.

To determine the system functionality, it is necessary to evaluate the features, interfaces, and reports of the new system(s) to determine the key functions accomplished by the system (e.g., maintain general ledger, record accounts receivable, etc.). It is also important to identify the interfaces of the system(s) to understand information flows and linkages to processes, as well as the reporting components of the new system(s).

Procedures for analyzing system functionality include:

- Reviewing key system capabilities from vendor website and/or materials
- Analyzing system functionality including features, interfaces, and reports from system specifications or user manuals
- Identifying key differences between current system and new system
- Determining methods of addressing key differences such as process or procedures modifications, changes to organizational structure, and/or system customization

K.2.2 Develop Concept of Future State

The objective of this step is to develop a concept for the future (To-Be) state of operations, which encompasses future (To-Be) processes, related participants, and supporting systems and provides an overview of the desired future operation. It can also include elements that affect how work is performed

- Differences in interfaces addressed by the systems
- Differences in the information flows addressed by the systems.

The outputs of this step include a gap report which summarizes the process gaps, recommendations for addressing the gaps, and costs and benefits of doing so. In addition it may include illustrations of new processes or process elements.

Procedures for assessing process gaps include:

- Evaluating current environment to identify areas of potential improvement
- Comparing functional requirements with COTS application
- Identifying each gap and its origin (process, people, system)
- Ranking gaps according to set criteria (high, medium, low)
- Prioritizing gaps
- Providing recommendations for filling gaps
- Establishing costs and benefit of each alternative
- Developing gap report which summarizes the results

K.3 Design New Processes

The main objective of this step is to develop new processes or process modifications needed as a result of the new system(s) or change effort. The areas considered include the functionality of the new system(s), characteristics of the current business environment, and the types of performance improvements desired.

There are several outputs from this step. These include overall concept of future state, future process maps, summary of key data flows, summary of key workflows, summary of reports, summary of system interfaces, and summary of performance measures.

Procedures for designing new processes include:

- Mapping processes to systems
- Defining workflows, reports, interfaces, and processes
- Updating concept of future state
- Developing performance measures
- Developing process implementation plan

K.3.1 Map Processes to System

Key data flows illustrate how a given software application will process data and how the information will move between systems.

Procedures for mapping processes to software include:

- Identifying the core functional requirements
- Mapping system or COTS package process requirements for each module in the application
- Conducting workshop sessions with end users to map the processes
- Ensuring that the end users are involved in the mapping
- Documenting the gaps
- Preparing Requirements Traceability to ensure that all the processes have been mapped against the system or COTS application and that corresponding requirements have been documented

and tracked. See Appendix L for process map guidance.

K.3.2 Define Workflows

Identify the workflows for approval and authorization of process transactions.

Procedures for defining workflows include:

- Identifying what business processes require approval
- Identifying stakeholders who need to be involved in the approval process
- Identifying the timeline for the approvals
- Identifying any exceptions to the approvals process
- Identifying the rules for approvals and routing for rejections
- Developing workflow model and validating it with stakeholders

K.3.3 Define Reports

Well-designed reports allow the efficient and effective flow of information to reach the stakeholders.

Procedures for defining reports include:

- Conducting workshops with the stakeholders to understand report requirements and identify the data sharing required between the new applications and legacy systems
- Developing a list of required reports
- Identifying the data elements at a high level that the reports contain
- Capturing, at a minimum, the following information on each report:
 - How frequent the reports will be required
 - Who requires the reports
 - Who is authorized to create, edit, and read the reports

K.3.4 Define Interfaces

The main objective of this step is to identify and define both the sources and destination of data used in future processes.

Procedures for defining interfaces include:

- Identifying stakeholders who are affected by the implementation of the new application
- Identifying owners for the systems who will be interfaced with the new application
- Conducting workshops with the stakeholders to understand the data sharing that will be required between the new applications and legacy systems
- Capturing, at a minimum, the following information:
 - How frequent the data will be required
 - Who requires the data
 - Where the data is currently residing
 - How critical is the data sharing

K.3.5 Define New Processes

The future processes will incorporate elements of the current (As-Is) processes, improvements to these processes, and process changes resulting from differences in the current system and new system functionality.

Procedures for defining processes include:

- Establishing relevant functions within scope of the change effort
- Identifying processes needed to accomplish each function
- Determining how the process will work, the participants involved, products produced, and the supporting system(s) involved
- Determining key process steps including decision points, system input or output, etc.
- Documenting description of future processes and process maps, and other documentation as applicable

K.3.6 Develop Future Performance Measures

The main objective of this step is to determine performance measures for monitoring, analyzing and controlling performance of the future processes.

Procedures for developing future performance measures include:

- Reviewing the list of current performance measures, goals and objectives of future process and CONOPS
- Conducting best practice and benchmark research
- Compiling a list of performance measures from those used in the current process and best practice research
- Developing criteria to rank performance measures using information from project charter, goals and objectives of future state, CONOPS, and strategic plan to develop criteria
- Selecting a short list of performance measures that measure critical performance/management information and creating measure templates
- Presenting the list of measures for client review and approval
- Finalizing and publishing future performance measures

K.3.7 Develop Process Implementation Plan

Identifying a detailed, organized method for adopting the future processes and COTS application will allow EPA to implement the process plan throughout the organization.

Procedures for developing a process implementation plan include:

- Determining the interrelationships between the capabilities to support the enterprise's mission and objectives
- Identifying the level of effort required to move from the current to the future state
- Identifying the sequence, timeline, and resources needed for the implementation
- Building consensus on the implementation plan with senior management and key stakeholders
- Identifying ongoing activities that may conflict with the end vision of the transformation

K.4 Refine New Processes

Procedures for refining new process include:

- Make development-related changes to new processes
- Add more detail to new process
- Develop supporting materials and tools
 - Change request reports from the systems development effort
 - Updated future (To-Be) process maps

- Adjust implementation plan

K.5 Implement New Processes

Utilizing materials which facilitate planning scheduling and tracking significantly facilitates the implementation and helps ensure that it goes smoothly.

K.5.1 Develop Supporting Materials and Tools

Supporting materials and tools may include policies and procedures, user manuals, or other work aids which provide further details on how processes work, who is involved, and the products produced.

Procedures for developing supporting materials and tools include:

- Assess the complexity of each process (e.g., number of departments and/or individuals involved, number of handoffs, cycle time, type and number of products produced, etc.)
- Determine level of detail needed to understand and perform process activities
- Evaluate alternative mechanisms for providing further detail

K.5.2 Review Implementation Plan

The implementation plan should establish the sequence for implementing each process as well as support operational or system changes. In particular, it is important to ensure that sequencing not only appropriately reflects dependencies across processes but also between processes and supporting operational and system changes. The project team should ensure that the sequence for rollout is logical and sensitive to the organization's need, and that it accounts for all processes and supporting systems and operations.

K.5.3 Update Blueprint

The blueprint is a model of the future (To-Be) environment and includes an overview of the processes, participants, and supporting systems and describes the interrelationship between each. It also includes materials that describe the details of these elements and the dependencies and linkages across them. Blueprints may also include organizational design, information flows, business rules, and performance metrics.

Procedures for updating the blueprint include:

- Maintaining baseline materials
- Receiving change information resulting from test activities
- Updating the blueprint document to reflect changes to various elements as necessary
- Checking to ensure that the ripple effect of the change is followed completely through the document to ensure all aspects of the change are recorded

K.5.4 Create Change History

The change history should include a standard format for tracking key information about suggested changes. These include the person who made the change, the reason for the change, and who authorized the change.

K.5.5 Rollout New Processes According to Schedule

The main objective of this step is to put new processes in place according to schedule. Because of the interdependencies involved with a change effort, it is critical that processes are rolled out according to a preplanned schedule and that any slippage is quickly noted and rectified.

Procedures for rolling out new processes according to schedule include:

- Monitoring implementation schedule
- Tracking progress to help ensure milestones are met
- Taking corrective action to address issues
- Communicating timing of rollout of each new process
- Providing appropriate training to facilitate understanding of new processes

K.5.6 Institutionalize New Processes

Institutionalizing new processes means ensuring that they have been fully implemented and that people who perform them understand how the processes work, their specific roles in the process, and the supporting systems used in conjunction with the process.

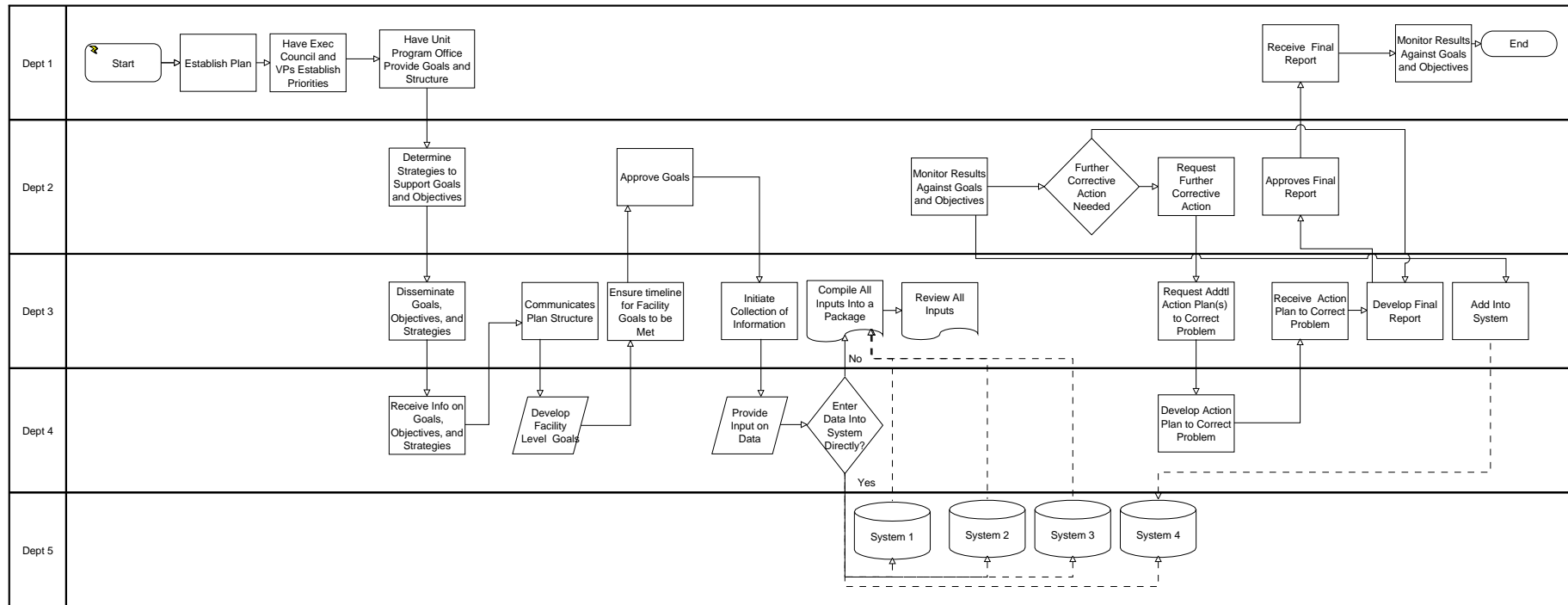
Appendix L Process Map Guidance

The project team uses process maps to illustrate the steps involved in a process and the sequence in which they occur. They show the organizations involved in a particular step as well as highlight handoffs among different groups. They can be used to show inputs and outputs to a process as well as supporting systems.

At a minimum, the following data should be captured in a process map:

- Activities, tasks, and decision points
- Individuals and/or groups that perform each activity
- Related and dependant processes
- Systems used during the process or receiving information from the process

Provided below is a sample of a process map. Software products used to develop process maps include iGraphx, Visio, etc.



Appendix M Sample Process Participants Chart Template

Roles and responsibilities charts are maintained to identify the individuals involved with each function and process. These charts provide a quick reference to who needs to be informed of the implementation schedule, training, etc. They can also be used to identify key issues relating to who is involved in a particular process. Provided below is a template of a roles and responsibility chart.

Function	Process	Individual	Title	Role	Issues

Appendix N Sample Communication Strategy and Plan Procedure

The Communication Lead conducts a baseline communication assessment, develops key messages, develops a Communication Plan, researches targeted communication tools and tactics to disseminate information, and develops communication materials. The Communication Plan establishes the communication goals, channels, themes, and supporting messages, identifies stakeholders and the means to reach them, proposes specific initiatives to support the change effort's communication needs, and presents an implementation plan with reasonable measures of effectiveness.

This appendix describes the procedures for developing and implementing a communication strategy and plan as part of an overall OCM effort.

N.1 Develop Communication Strategy

The Communication Lead should develop a targeted, proactive Communication Strategy that will support the OCM Strategy and Implementation Plan and business goals for the change effort.

Procedures for developing the Communication Strategy include:

- Conduct Baseline Communication Assessment
- Identify Communication Goals and Objectives
- Identify major audiences
- Develop key themes and messages
- Develop the Communication Strategy based on completed data gathering and analysis efforts. The strategy takes all the data understood about the organization and its stakeholders and outlines an overarching strategy for facilitating stakeholder buy-in and ownership of the new system or business process. To ensure cohesive and robust communication, the strategy should include:
 - Communication goals and objectives as it relates to broader organizational goals
 - Results from the stakeholders analysis, segmented appropriately
 - Understanding of key stakeholder concerns, issues, and preferences for communication
 - Key themes and messages
 - Defined roles and responsibilities, resource requirements, and budget for implementing the strategy
 - Feedback mechanisms for two-way, ongoing stakeholder input

A sample Communication Strategy template is provided in Appendix O.

N.1.1 Conduct Baseline Communication Assessments

The Communication Lead will analyze the current communication environment and assess communication needs and challenges. Procedures for conducting the initial communication assessment include:

- Conducting an initial assessment of the communication environment
- Identifying additional communication tools, channels, and mechanisms needed to communicate effectively
- Developing and archiving Communication Baseline report

N.1.2 Identify Communication Goals and Objectives

Defining communication goals and objectives will serve as the guiding framework for the Communication

Strategy and Implementation Plan. The Communication Lead should understand the expectations of the communication program, then use them to create objectives against which progress towards meeting those expectations can be measured.

N.1.3 Identify Major Audiences for Communication

Identifying and understanding audience groups is a critical step in building effective communication programs.

Procedures for identifying major audiences include:

- Understanding key internal and external stakeholders to build and evolve the communication program from the beginning. This step must be addressed early on in the change process
- Collaborating with the Organizational Change Management (OCM) Team to identify and develop a stakeholder analysis
- Examining lessons learned from past change and communication projects
- Analyzing stakeholder data to determine their information needs, the most effective means for communication and information sharing, and how to use existing communication resources and mechanisms
- Analyze and prioritize stakeholder audiences and refine specific needs, concerns, and values for each segment
 - Focus the communication stakeholder analysis (versus the OCM stakeholder analysis) on how best to utilize key messages, communication channels, and tools to connect with the target audiences
- Determine how engaged the stakeholders need to be or will be during the change process. Look at each stakeholder group individually, because each group may fall into a different category. This determination can be made using the Engagement Continuum. The Engagement Continuum can break out into three general categories: Minimum, Medium and High



- Validate stakeholders with client and appropriate project team members

N.2 Develop and Implement Communication Plan

N.2.1 Develop Key Themes and Messages

The Communication Lead should develop the overall communication themes and supporting key messages that convey the essential elements of the change to both internal and external stakeholders.

Procedures for developing key themes and messages include:

- Defining high-level themes linked to the transformation vision, goals and strategy. These will

- remain consistent throughout the change effort.
- Tailoring messages to anticipate needs, address unique concerns, and solicit input/cooperation (informational, motivational, promotional, or conciliatory)
- Determining who will communicate each message
- Validating the key themes and messages with the client and appropriate project team(s) to ensure messages are accurate and clear

N.2.2 Develop Communication Plan

The Communication Lead should develop a targeted, proactive Communication Plan that will support the OCM Plan and business goals for the change effort.

Procedures for developing the Communication Plan include:

- Planning and strategies to obtain feedback from stakeholders on communication effectiveness, coordinating with and leveraging the OCM Support Team's feedback mechanisms
- Defining roles and responsibilities, resource requirements, and budget for implementing strategy
- Developing the Communication Strategy based on completed data gathering and analysis efforts. To ensure cohesive and robust communication, the strategy should include:
 - Communication goals and objectives
 - Stakeholders, segmented appropriately
 - Appropriate communication channels and tactics
 - Themes and key messages
 - Feedback mechanisms for two-way, ongoing stakeholder input
- Developing a detailed Communication Plan, that turns the Communication Strategy into an actionable plan and outlines the tactical approach for executing it. The plan should include a timeline and define parties responsible for executing communication activities based on the overall transformation strategy and roadmap, project schedule and stakeholder needs

A sample Communication Plan template is provided in Appendix P.

N.3 Execute Communication Activities

The Communication Lead creates and launches a suite of communication products and events that will support key messages and target specific stakeholders. He or she should also implement feedback mechanisms and processes to monitor and evaluate communication, as well as use the data thus gathered to update the Plan and refine the methods of communication, if necessary. The Communication Plan is a living document and its users should update it to improve the communication procedure and incorporate any new requirements that emerge.

Appendix O Sample Communication Strategy Template

This appendix provides a sample Communication Strategy template that may be used and/or tailored as appropriate according to project needs.

Communication Strategy Template

Acceptance / Approval Page

DOCUMENT CHANGE HISTORY – Complete the version, date, author and description column to accurately describe the modifications made to this document.

Version	Date	Author	Description of Changes
V X.X			

1.0 INTRODUCTION

1.1 PURPOSE

[This section defines the purpose of the Communication. Example: The Communication Strategy describes the communication approach for increasing stakeholder awareness, understanding and buy-in for the [Project Name] OCM effort.]

1.2 SCOPE

[This section defines the parameters of the Communication Strategy. Add any text necessary to define what is included and what is excluded as part of the scope of the plan. This text may:

- Name the specific entity, product, project team, and/ or component for which communication activities are performed and those that are expressly excluded
- Define whether the plan addresses communication activities for processes and/or products
- Identify if contractor support is used on the project and if they will be the subject of communication activities
- Describe other boundaries for the strategy

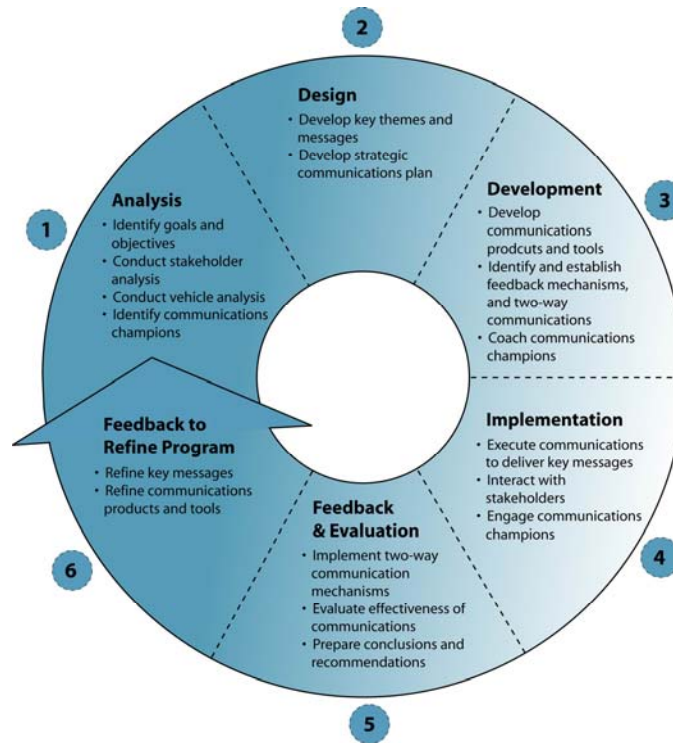
1.3 REFERENCE DOCUMENTATION

[This section identifies the references, standards, procedures and other documents used to develop the communication activities for the project. This list may include:

- <project name> Project Management Plan
- <project name> Project Schedule
- <project name> Risk Management Plan
- <project name> Statement of Work and/or Contract and/or Applicable Contractual Requirements
- Other project documentation, as necessary
- Internal or external communication resources or standards, as applicable.

1.4 COMMUNICATION APPROACH

[This section describes the overall approach for meeting the program's communication objectives.] An example approach may appear as follows:



2.0 COMMUNICATION GOALS AND OBJECTIVES

[This section identifies the goals and objectives of the Communication effort followed by a brief sentence explaining how they are achieved.]

3.0 STAKEHOLDER AUDIENCES

[This section describes the key stakeholder audiences, their concerns and interest, and preferences for communication]

4.0 KEY THEMES AND MESSAGES

[This section describes the overarching themes and supporting key messages that provide the foundation for all communication employed for informing stakeholders about the goals and objectives of the project]

4.0 ROLES AND RESPONSIBILITIES

[This section provides a description of the roles and responsibilities for key participants involved in implementing the Communication Strategy. It also provides the hierarchy of roles within EPA.]

APPENDIX A - ACRONYMS

APPENDIX B – DEFINITIONS

Appendix P Sample Communication Plan Template

This appendix provides a sample Communication Plan template that may be used and/or tailored as appropriate according to project needs.

Communication Plan Template

Acceptance / Approval Page

DOCUMENT CHANGE HISTORY – Complete the version, date, author and description column to accurately describe the modifications made to this document.

Version	Date	Author	Description of Changes
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1.0 INTRODUCTION

1.1 PURPOSE

[This section defines the purpose of the Communication Plan. Example: The Communication Plan describes the tactical steps for increasing stakeholder awareness, understanding and buy-in for the [Project Name] OCM effort through targeted and measured communication.]

1.2 SCOPE

[This section defines the parameters of the Communication Plan. Add any text necessary to define what is included and what is excluded as part of the scope of the plan. This text may:

- Name the specific entity, product, project team, and/ or component for which communication activities are performed and those that are expressly excluded
- Define whether the plan addresses communication activities for processes and/or products
- Identify if contractor support is used on the project and if they will be the subject of communication activities
- Describe other boundaries for the strategy

1.3 REFERENCE DOCUMENTATION

[This section identifies the references, standards, procedures and other documents used to develop the communication activities for the project. This list may include:

- <project name> Communication Strategy
- <project name> Project Management Plan
- <project name> Project Schedule
- <project name> Risk Management Plan
- <project name> Statement of Work and/or Contract and/or Applicable Contractual Requirements
- Other project documentation, as necessary
- Internal or external communication resources or standards, as applicable.

2.0 COMMUNICATION TOOLS AND TACTICS

[This section describes the communication matrix that will be populated to describe the appropriate

communication tools and tactics that will be used for the communication effort.]:

Tool or Tactic	Description and Rationale	Timing	Method	Target Audience	Evaluation Tool
Type of Media – [Print, Internet, Ads, etc]					
[Publication Name (i.e. Government Computing News)] [Publication web site address]	[What is the publication or communication tool that should be used? Why is this tool relevant to this project?]	[When is publication published or produced?]	[How will the tool be used?]	[Who is the target audience for this tool?]	[How will this tool be evaluated for effectiveness?]

APPENDIX A - ACRONYMS

APPENDIX B - DEFINITIONS

Appendix Q Training Plan Guidance

Developing an effective training plan is a straightforward process if the planning is carried out in a systematic way. The process for developing a training plan described here draws on a systematic approach that has been successful in dealing with the complex design and development problems ranging from the production of space vehicles to software development, and more recently, to human resource development. In a process that would be familiar to an engineer, a systematic approach to instructional design focuses on accurately identifying a set of requirements and problems, establishing specific performance objectives, applying logic and analysis techniques to the issue or opportunity at hand, developing methods for addressing the problems, and rigorously measuring the product against the specific performance objectives. The result is a plan that yields consistent results and can be managed.

Q.1 Develop High-Level Training Plan

The main objective in developing a training plan is to determine whether or not a performance-improvement issue exists that is best addressed by training, and if so, assessing the existing capability of the organization to provide it. This assessment includes determining the high-impact areas to be addressed and then understanding the training needs themselves. A sample Training Plan template is presented in Appendix R.

Q.1.1 Baseline Existing Training Programs

The Training Lead should examine existing training materials to determine whether they will be useful in acquainting staff with their new skill sets.

In defining the training requirements for the project team, it is expected that some training requirements are standard for all team members regardless of role (for example, all team members need some level of configuration management training in order to properly route and standardize documents), while other training requirements will be specific to certain roles (for example, a quality assurance manager may require knowledge of ISO 9001 or a specific quality management system).

The following list of questions may be used to assess the usefulness of existing training:

- What types of software, hardware, or tools will someone in this role be required to use (for example, MS Project, PVCS Tracker, Organizational Management Portal, MS Excel)?
- What processes will this role use or affect (for example, configuration management processes or procedures, quality assurance processes)?
- What unique knowledge or skills will be required of this role?
- What agency-specific knowledge would someone in this role require (for example, knowledge of agency contracting procedures or policies)?

The Training Lead works with the project team to assess team members' current knowledge and skills in light of the requirements of the planned business process change. The Training Lead ascertains the training required for each member of the project team, according to his/her role, experience, and prior training.

Documenting the planned training for each team member includes a definition of:

- The individual's primary and secondary (if any) role on the team
- Any prior knowledge, skills, or experience the individual possesses
- Any prior training the individual has completed

The result of this analysis are data that can be compared with existing programs to determine if a training

program can provide the required skills or knowledge, an existing training program needs to be modified, or a new training program has to be procured or developed.

Q.1.2 Assess High-Impact Areas

High-impact areas are often characterized by:

- Identifying required or mandated levels of performance
- Determining if training is the best strategy to bring the team to the desired state, i.e., if there is an identified deficiency in skills or knowledge required
- Identifying who decided that training should be conducted
- Understanding why a training program is seen as the recommended solution to a business problem
- Describing the history of the organization in regard to employee training and other management interventions
- Describing the urgency of the training need
- Determining the impact to the project if training in the specific area is not sought or completed

High-Impact areas are usually addressed as a high priority; lower-priority areas include existing training programs or the project team members' having the necessary business-process skills and knowledge already.

Q.1.3 Identify High-Level Training Needs

Training is often an expensive intervention, and thus a means of assessing whether training is the most feasible or "best" solution before committing funds to it is important. A solid training needs analysis helps determine the exact nature of the performance-improvement problem and how it can be solved.

The purposes of a needs analysis are:

- To examine the current problem
- To identify the required or mandated level of performance
- To determine if training is the best strategy to bring the team to the desired state

A number of needs assessment techniques are available to help determine the training needs of a project. Any may be used depending on the scope of the project and capability of existing training to address high-impact areas:

A Context Analysis analyzes the business needs or other reasons the training is desired. Context Analysis answers these questions:

- Why a training program is seen as the recommended solution to a business problem
- What the history of the organization has been in regard to employee training and other management interventions

A User Analysis focuses on the potential participants and instructors involved in the process, and provides answers to these questions:

- Who will receive the training?
- What is the trainee's level of existing knowledge on the subject?
- What is their learning style?
- Who will conduct the training?

A Work Analysis is an analysis of the job and the requirements for performing the work. Also known as a task analysis or job analysis, it seeks to specify the main duties and skill level required. This helps ensure that the training will include relevant links to the content of the job.

A Content Analysis is an analysis of documents, tools, and procedures used on the job. The information for the analysis comes from manuals, documents, or processes. An experienced team member can assist as a subject matter expert in determining the appropriate content.

Q.2 Design and Develop Training

In this step the training team identifies training tools, mobilizes institutional capability to deliver the training, and produces instructional plans.

Q.2.1 Design and Update Training Tools

Defining the training purpose or goal should be the first step when designing new or updating existing training material. A carefully-written goal statement states instructional objectives so that they are observable and measurable.

Specific objectives for performance-based training are based on performance requirements and usually have three elements:

- Performance requirements that pertain specifically to the training topic
- An analysis of steps to perform the task or job
- A statement of how well the tasks are to be performed (e.g., speed, accuracy, creativity, etc.)

The most effective training sessions have objectives that are measurable in some way (can/cannot perform; chooses to use the system, etc.), and are observable (e.g., on-the-job performance; survey)

Training design follows a structured process and produces a structured product. Here is a sample outline for presenting an instructional module:

- Gain Learners' Attention
- Describe the Instructional Goal
- Stimulate Recall of Prior Knowledge
- Present Instructional Content
- Provide Guidance
- Provide Practice
- Deliver Feedback
- Assess Performance
- Enhance Retention and Transfer

In addition, the incorporation of the following elements an instructional tool that complements adult learning styles:

- A list of instructional objectives for the course
- Materials to be prepared in advance and used during the instruction
- Clearly stated session duration
- Recommended minimum and maximum class sizes
- Description of the target audience

- Required prerequisite skills or knowledge

Wherever possible, the training team should include potential change agents in the design of training.

Q.3 Conduct Training

The Training Lead leads the “Test” phase of the Instructional Systems Development lifecycle, which focuses on conducting training, a necessary step regarding training the project leadership and testers or pilot participants who help indicate whether the training will be effective. The following three subphases progress logically from one step to the following.

Q.4 Train Leadership

The key step in training leadership is performing the one-to-one evaluation. In this step, the instructional systems developer meets with the leadership team, either individually or in a small group, and holds a walkthrough of the course module. During the walkthrough, the Training Lead or designer discusses the objectives, the outline of the instructional content, instructional media to be used, the amount of time required for training, and how the material will be evaluated.

At the end of the walkthrough, the training developer can incorporate comments and suggestions into the draft instructional package.

Q.4.1 Train Testers

Because the training material is still in a draft phase, the testers are normally trained in small groups of five to eight persons. The trainer presents the material as if the session were “live” with the ultimate group of end-users or trainees. The trainer steps out of a “training” or delivery role only when then the presentation is confusing or there is an obvious problem with the training as written.

This early exposure to the training material, in draft form, serves to develop the skills and knowledge required to test the new business process.

Q.4.2 Evaluate Training Effectiveness

Evaluating participants’ perception of the training they receive is one way to measure training effectiveness. Adult learners are usually experienced at evaluating their instructional needs. Questionnaires distributed at the end of the session or completed later on line are typical methods for gathering this type of information.

An ideal feedback form is one that is simple to complete. A good rule of thumb is to keep the evaluation form to less than one page and/or less than 10 questions. Another way to evaluate the training is to observe whether the testers are able to demonstrate the desired skills and knowledge. The training team uses the test results to make changes to the training, if necessary. Appendix S provides a sample Participant Training Feedback form.

Q.5 Conduct Training

Q.5.1 Secure Training Facilities

The Training Lead prepares a training schedule to implement the training plan. Ideally, training should not be given more than six weeks before trainees are expected to apply their new skills.

Procedures for securing a facility for training typically include:

- Determining what physical facilities (i.e., rooms, computers, and training aids) are available
- Determining which instructors are available and how much experience they have

- Determining how many personnel are scheduled for training
- Determining the required techniques, tools, materials, and equipment
- Determining how many staff are trained
- Determining what is the duration of training

Q.5.2 Train Instructors

After the test results from the pilot sessions have been incorporated, the training facilities secured, and a timeline established that balances trainee and facility availability, the training team will need to hold training for the instructor corps. The team provides existing material in as close to the final form as possible and presents instructors with the training course as if the training were to be presented to the trainees.

The training team should select instructors with proven ability or subject matter expertise, provide an overview of the reasons for the training, introduce the instructors to the materials, and provide them with an opportunity to practice all or part of the training modules.

Ideally, instructor training is provided two weeks before the scheduled training date to allow the trainer to become familiar and confident with the content and materials and practice delivering the information.

Q.5.3 Deploy Training Across the Organization

Deploying training across an organization calls for project management skills to establish, maintain, correct, and evaluate the training. The major topics for deploying training across the organization center on communicating and maintaining records related to the following:

- Training course prerequisites
- Objectives
- Course description and duration
- Techniques, tools, materials, equipment required
- Schedule
- Training course details
- Instructor corps
- Location
- Duration (estimated versus actual)
- Recommended class size
- Total staff, and total staff trained
- Evaluations and testing (reaction and performance measures)
- Number of attendees versus estimated
- Attendance percentages, planned, and actual

For smaller projects, the Training Lead still needs to deploy training across the organization, monitor and communicate training resources and constraints, including time available and required, personnel (both instructional and trainee), budget, and report against these aspects to leadership.

Appendix R Sample Training Plan Template

This appendix provides a sample Training Plan template that may be used and/or tailored as appropriate according to project needs.

Training Plan Template

Acceptance / Approval Page

DOCUMENT CHANGE HISTORY – Complete the version, date, author and description column to accurately describe the modifications made to this document.

Version	Date	Author	Description of Changes
V X.X			

1.0 INTRODUCTION

1.1 PURPOSE

[This section defines the purpose of the plan. Example: The Training Plan defines the guidelines and procedures for managing, executing, tracking and reporting the training activities for the <project name> project.]

1.2 SCOPE

[This section defines the parameters of the training plan. Add any text necessary to define what is included and what is excluded as part of the scope of the plan. This text may:

- Name the specific entity, product, project team, and/ or component for which training activities are performed and those that are expressly excluded
- Define whether the plan addresses training/control activities for processes and/or products
- Identify if contractor support is used on the project and if they will be the subject of training activities
- Describe other boundaries for the plan]

1.3 REFERENCE DOCUMENTATION

[This section identifies the references, standards, procedures and other documents used to develop the training activities for the project. This list may include:

- <project name> Project Management Plan
- <project name> Project Schedule
- <project name> Configuration Management Plan
- <project name> Configuration Item/Configuration Data List
- <project name> Risk Management Plan
- <project name> Statement of Work and/or Contract and/or Applicable Contractual Requirements
- Other project documentation, as necessary
- Internal or external quality management resources or standards, as applicable. For system projects, the Training Manager should refer to the Office of Environmental Information's System Life Cycle Management Policy and corresponding procedures when developing the training plan.]

1.4 PLAN MAINTENANCE

[This section identifies the office or group responsible for developing, maintaining, and distributing this plan. It also establishes how often the plan is reviewed, typically by organizational directives. Updates are prepared as required.]

2.0 TRAINING GOALS AND OBJECTIVES

[This section identifies the goals and objectives of the training plan followed by a brief sentence explaining how they are achieved.]

3.0 ROLES AND RESPONSIBILITIES

[This section provides a description of the roles and responsibilities for key participants involved in implementing the training plan. It also provides the hierarchy of roles within EPA.]

4.0 TRAINING ACTIVITIES

4.1 TRAINING RESOURCES

[Describe the composition of the resources that support the project's training activities. All training-related costs should be planned, monitored and controlled in accordance with PMP-02 Project Initiation and Planning Procedure, PMP-03 Project Schedule and Cost Baseline, and PMP-04 Project Status, Forecasting and Reporting.]

4.2 PROGRAM ACTIVITIES

[This section describes the training activities for the project, how often they occur, and the procedures that apply to them. The information may be presented in narrative or table format. The Training Manager recommends the type of activities needed to identify needs, design, develop, conduct, and deploy training. Training activities may include:

- Assess Training Needs – Not by necessarily conducting a survey, but identifying instances in which the desired or mandated skills and knowledge do not exist by means of focus groups, interviews, observations of performers, tests, work samples, or consultation with persons in key roles and/or with specific knowledge about the project
- Design and Develop Training – By establishing a set of instructional objectives that reflect the performance that a fully-trained performer would normally be expected to do, then structuring content based squarely on that level of performance, and documenting it in the form of an instructor's guide with related material.
- Conduct Training – Piloting the draft instructional content, then delivering it to trainees in an environment that mirrors the eventual work environment. Conducting the training also involves collecting measures about trainee achievement and cycling that feedback into the instructional design. Training the leaders of the project or division is a necessary step.
- Deploy Training- Locating and scheduling training facilities, identifying and registering trainees, training a cadre of instructors.

Table 1. Training Program Activities

Training Activity	Applicable Training Procedures
-------------------	--------------------------------

Training Activity	Applicable Training Procedures
Training Needs Assessment —The Training Manager baselines existing training programs and assesses high-impact areas to be addressed by training. High-level training needs are identified. The plan is reviewed at least annually and updated as appropriate.	Develop High-Level Training Plan
Design and Develop Training —The Training Manager identifies key characteristics of the target group, and solicits organizational support in developing the training design. Manager reviews the TRAINING/QM plans developed by contractors. Comments are provided on non-compliance issues. The Quality Manager approves the plans when corrections are made based on the comments provided.	Design Training (Instructional Objectives and Criterion Measures) Develop Training (Document content and select instructional media)
Conduct Training —Quality Manager arranges the pilot training to be delivered and collects formative evaluation, training organizational leaders and trainers as required. The effectiveness of the training is evaluated through observation and performance on criterion measures.	Conduct Training Train Leadership Train Testers, Evaluate Training Effectiveness
Deploy Training —The Training Manager incorporates test feedback, then secures training facilities before scheduling training sessions, and managing registration, follow-up, and related logistics	Test New Processes Refine and Conduct Training

4.3 REPORTING

[This section establishes the reporting channels for training. It describes the requisite report format(s) to include the scope of the needs assessment, design, development, and recommendations for improvements based on feedback. This section also defines how findings are tracked and reported as well as any tools that are used in the training process. The project Training Manager is responsible for monitoring, tracking and updating the status of findings through closure. Formal reporting of training activities and findings should be performed in accordance with PMP-04 Project Status, Forecasting, and Reporting Procedure.]

4.4 ESCALATION (If applicable)

[This section defines the escalation procedure for issues not resolvable by the Project Manager and the Quality Manager. Reference PMP-06 Issue Management Procedure for specific guidance on identifying and tracking issues.]

5.0 TRAINING METRICS (if applicable)

[This section describes the use of measurement and analytic techniques to determine the effectiveness of training activities. The number of metrics defined is proportional to the size, complexity, risk and duration of the project. Example:

Metrics are a means of tracking and reporting on the progress of training program. Measurements are data collected while conducting training activities. These data can be analyzed to derive indicators (metrics), which can be depicted in charts, graphs, and plots to support the following:

- Determination of training process/program status.
- Identification of trends regarding trainee characteristics.
- Identification of design and development deficiencies that may arise over time.
- Identification of training-improvement opportunities.

Define the measurements that will be collected during training activities:

- Number of sessions and attendees planned for a period of time.

- Level I evaluations
- Level II evaluations
- Actual attendees by geography and time division

6.0 CONSTRAINTS AND RISKS

6.1 CONSTRAINTS

[This section defines the constraints associated with the training plan. Example:

Project training activities are limited by the number of staff assigned, including contractor. This is often due to availability of funding for training and the procedural and timeframe restrictions of the budget process.]

6.2 RISKS

[This section describes the risks and mitigation strategies for those risks associated with the training plan. Example:

The consequences of not having enough staff to act as a cadre of trainers will jeopardize the PMO's ability to carry out the demands associated with the project, and may adversely affect the PMO's credibility with Congress, the public, and other stakeholders. To mitigate this risk, the PMO should continue to implement its training activities in a phased approach using management input and risk-based prioritization as the basis for identifying the priority processes on which training is to be performed. In addition, funding should be provided to increase the training resources to a level that will support workload effectiveness. Ultimately, a training staff proportional to the project staff and size of target trainee group, with release time available for this purpose, should be the target for having a viable training function.]

APPENDIX A - ACRONYMS

APPENDIX B - DEFINITIONS

Appendix S Sample Training Participant Feedback Form

Insert your project name.





Tracking & Evaluating Project Training -- Participant Feedback Form

<Project Name> would like your feedback on the session you just completed. Please help us to determine the value and effectiveness of this session by responding honestly and objectively. Thank you for your feedback.

Facilitator: _____

Date: _____

In order to record your feedback accurately, please fill in the bubbles as indicated to the right.

 right
  WRONG
  wrong
  wrong

I. Please respond to the following statements about the training/briefing:

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
The objectives were achieved	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Length of the training/briefing was appropriate/adequate	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

II. Please rate the materials on the following areas:

	Poor	Fair	Good	Very Good	Outstanding
Quality of materials and handouts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Pace of the course	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Organization/flow of topics and materials	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

III. Please rate the instructor(s) on the following areas:

	Poor	Fair	Good	Very Good	Outstanding
Instructor's grasp of the subject matter	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Instructor's responsiveness to the participants	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Instructor's ability to involve the participants	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

IV. If you indicated poor, fair, or good for any item above, please explain your rating as specifically as possible.

V. What was the most useful information you learned from this training/briefing that can be applied on the job?

VI. In what ways could the training/briefing be improved?

Appendix T Sample Training Planning Form

Change Management Staff

Individual's Name: _____ Assigned Role: CM Manager/Analyst

Project Manager: _____ Start Date: _____

Reviewer/Mentor Name: _____ Finish Date: _____

#	Area	Activity	Estimated Duration	Estimated Completion Date	Reviewer/Responsible Person	Completion Date
	Administration for CM Role	Assign project responsibilities and inform Program Manager of new Change Management (CM) Manager rates				
		Install CM tools used specifically by CM staff on workstation				
		Verify access to CM resources (e.g., Configuration Management Library (CML), Change Request (CR) repository, etc.)				
	Documentation Review	Review CM portion of the Project Defined Process (PDP)				
		Review CM/Data Management (DM) Management Plan				
		Review Configuration Status Accounting (CSA) report template				
		Review Configuration Control Board (CCB) Charter				
		Review project's Version Description Document (VDD)				
		Review project team schedule for CM involvement				
		Review Configuration Item (CI)/Date Item (DI) Definition Document				
		Review CM/DM WIs and SOPs				
	CM-Specific Meetings	Review requirement to attend weekly CM meetings and ensure attendance				
		Review schedule of CCB meetings and responsibilities and ensure scheduling and attendance				
	Hands-On CM Training	How to update and maintain project's Software Configuration Management (SCM) Plan and Working Instructions and SOPs				
		How to maintain and control project documents				

You may want to list the tools used by the CM staff on your project and specific resources they need to access.

List any CM -specific work instructions (WI) and standard operating procedures (SOP) for CM staff that should be review and be familiar with.

Change the frequency of CM meetings or delete if not applicable.

Change/ add/delete any CM hands-on training the new CM staff will need.

Change Management Staff

Individual's Name: _____

Assigned Role: CM Manager/Analyst

Project Manager: _____

Start Date: _____

Reviewer/Mentor Name: _____

Finish Date: _____

#	Area	Activity	Estimated Duration	Estimated Completion Date	Reviewer/Responsible Person	Completion Date
		How to baseline project 's software and document CIs/DIs				
		How to assign version labels/tags in the configuration management repository tool				
		How to perform a software build				
		How to prepare Baseline Package for project				
		How to prepare Release Memo				
		How to maintain physical Configuration Management Library (CML)				
		How to maintain the electronic CML and CML log				
		How to produce a CM Configuration Status Accounting report				
		How and when to collect project level CM metrics and analyze results				
		How and when to estimate CM activities (if different than project's standard estimation process)				
		How to conduct a CM release audit				
		How to conduct a library audit in CML				
		How to participate in a QA audit				
	CM Tools Training	List training for CM tools.				

Appendix U Workforce Planning Guidance

U.1 Conduct Workforce Planning

Strategic workforce planning is a management framework for making staffing decisions and related investments based on an organization's mission, strategic plan, budgetary resources, and desired workforce competencies. It allows organizations to identify the number, type, and level of staff needed to sustain their work. WFP also enables an organization to assess its ability to achieve and/or sustain a balance between demand for and supply of its workforce, and to identify the areas with the greatest risk of gaps. Finally, WFP often provides the basis for more informed decision making about which human capital or other strategies to pursue to mitigate these identified workforce gaps.

U.1.1 Initiate Workforce Planning

The WFP Lead defines the specific objectives of workforce planning. Key steps include:

- Determining the desired outcomes of the engagement which may include:
 - Identifying a sustainable workforce structure
 - Developing a strategic workforce plan
 - Building workforce planning capability
 - Creating workforce planning tools
- Identifying what specific component of the workforce upon which to focus the analysis
- Defining the roles and responsibilities of persons involved, including respective participation from the HR organization and/or operational line managers.

U.1.2 Understand Strategic Direction, Key Environment Factors, and Business Context

The WFP Lead should understand the organization's internal strengths and weaknesses as well as external opportunities and threats in order to maximize the benefits of workforce planning.

Procedures for understanding the strategic direction, key environment factors, and business context include:

- Working with organization to determine desired outcomes of the engagement:
- Reviewing the organization's strategic goals, mission, vision, and values
- Reviewing performance indicators
- Reviewing service priorities
- Scanning environment to identify potential internal and external factors

U.1.3 Determine Work Demands and Identify Gaps

The WFP Lead should compare workforce requirements to workforce supply and identify existing or potential gaps or surpluses.

Procedures include:

- Conducting a client-centered systematic assessment of the organization's ability to align its workforce capabilities with its various organizational needs by identifying the skills required to support the organizational change relative to the current capabilities of the workforce
- Gathering data to document workforce composition and characteristics
- Performing a supply analysis (e.g., current talent assessment, review positions)
- Calculating projected gaps or surpluses

U.1.4 Implement Solutions

The WFP Lead should outline options to resolve, or minimize risk of, future gaps and/or surpluses (such as defining components of a sustainable workforce structure or identifying specific interventions needed).

Procedures to implement solutions include:

- Identifying solutions to bridge gaps and surpluses (e.g., candidate sourcing strategies, hiring specifications, training and development)
- Analyzing feasibility of options
- Developing action plan; revising and updating as appropriate
- Monitoring and evaluating staffing forecasts regularly against actual staffing requirements going forward

U.2 Continue Workforce Planning

The WFP Lead should continuously evaluate the process to determine how well each of its components are functioning and where adjustments are needed. Guidelines for effective and continuous workforce planning include:

- Assessing the accomplishment and the effectiveness of outcomes related to workforce planning. Examples of questions to ask in order to determine whether the workforce planning process was effective include:
 - Did the workforce planning process sufficiently identify workforce gaps or surpluses?
 - Did the action plan accomplish what was needed?
 - Have the organization's strategies changed?
- Addressing the need for adjustments to strategies and action items. After the WFP Lead has conducted the analysis above, he or she should attempt to remedy problems in implementing action items. Examples include:
 - Timeframe for implementation of action items may need to be changed
 - Content of action items may need to be adjusted
 - Action items because may need to be deleted because they may no longer be valid and/or feasible, e.g. budget, reorganization, etc.
- Determining the effectiveness of workforce planning process steps. Feedback should be obtained from participants and customers, including managers and top-level officials, to determine the effectiveness of the WFP process. When doing so, examples of questions to ask include:
 - What was expected from this process? Did this process produce a plan that is useful to managers in support of the organization's strategic goals?
 - What worked and why? What didn't work and how could it be improved?
 - Was there enough time to conduct WFP?
- Communicating any changes.
 - Any changes to the processes and subsequent impacts should be fully discussed and analyzed, to ensure the changes do not create unforeseen roadblocks.
 - The WFP Lead should communicate modifications to the processes to everyone as soon as possible to ensure sufficient time for training and/or questions.

U.3 Complete Workforce Planning

Successful WFP requires the commitment of management. Senior managers must lead the planning process, assure that workforce plans are aligned with strategic direction, and hold subordinate managers

accountable for carrying out the workforce planning process. By beginning the planning process with identified objectives, managers can develop workforce plans that will help them accomplish those objectives. At the same time, workforce plans provide a sound basis for justifying budget and staffing requests, since there is a clear connection between objectives, the budget, and the human resources needed to accomplish them.

When the WFP Lead has identified workforce gaps and established priorities for addressing them, he or she must identify appropriate solutions. Typically, most of the solutions fall into the following broad categories:

- Position classification actions
- Staff development strategies
- HR strategies (recruitment/selection/retention)
- Organizational intervention (redeployment of staff / reorganization)
- Knowledge transfer strategies

If alternative solutions to address workforce gaps are required, it is helpful to consider the following factors:

- Time. Is there enough time to develop staff internally for anticipated vacancies or new competencies, or is special, fast-paced recruitment the best approach?
- Internal depth. Does existing staff demonstrate the potential or interest to develop new competencies and assume new or modified positions, or is external recruitment needed?
- Job classification. Do current job classifications and position descriptions reflect future functional requirements and competencies?
- Measurement tools. Do current measurement tools accurately assess applicants'/employees' levels of competencies?
- Reorganization. Will some organizations need to be restructured to meet business needs and strategic objectives?